Welcome

Marcia Smith
Associate Vice Chancellor for Research
Agenda

- Welcome and Announcements – Marcia Smith
- OCGA Initiatives – Patti Manheim, Kim Duiker
  - Proposal Intake Team Update
  - COI Processing in OCGA
  - Reorganization: Goals and Objectives
- OARO Initiatives – Blair Hoover
  - Change in Review Practices
- EFM Update on Effort Reporting – Maurice Taylor
- Research Policy and Compliance Updates – Ann Pollack
  - Update on Launch of UCLA eDGE
- Questions and Discussion
Today‘s Topics

• Proposal Intake Team Update
• COI Processing in OCGA
• Reorganization: Goals and Objectives
Streamlining Proposal Process

- **Proposal Intake and Processing**
  - Average of 426 proposals submissions/month
  - 76% of proposals received within 2-3 days of the sponsor deadline every month.

![Proposal Submission to OCGA Graph](image)
Streamlining Proposal Process

Proposal Intake Process:

• Proposal Intake Team staff receives all proposal applications. Initial review to confirm at least minimum documents are included.
• Standard Communications at key points in the process
  • Complete application
  • Minimum documents
  • Less than minimum – some level of review
  • Incomplete/insufficient
• Proposal Intake Team captures reliable/consistent data
  ▪ **EPASS**: Title, Sponsor Name, Proposal Type, Instrument Type, Program Type, Special Program Type, Date Created, Date Received, Time Received, Deadline Date, Deadline Time, and Deadline Type
  ▪ **CHECKLIST**: Documents received at Intake: Complete EPASS, All Forms Requiring OCGA Signature, Final Budget in Sponsor required Format, Final Budget Justification, State of Work(draft or final), All agency required materials, PI exception Letter, COI, Indirect Cost Waiver
• Systematic reminders will be issued to follow-up on missing documents
## Streamlining Proposal Process

<table>
<thead>
<tr>
<th>Minimum Requirements for Review</th>
<th>Requirements for Review, Approval &amp; Submission</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed EPASS with <strong>PI Signature</strong></td>
<td>Completed EPASS with <strong>all required signatures</strong></td>
</tr>
<tr>
<td>Sponsor Guidelines</td>
<td>Sponsor Guidelines</td>
</tr>
<tr>
<td>All Sponsor forms requiring OCGA signature</td>
<td>Final Proposal (budget, science, agency required signatures, biosketches, etc.)</td>
</tr>
<tr>
<td>Final Budget with Budget Justification</td>
<td>Subaward Documents (if applicable)</td>
</tr>
<tr>
<td>Brief description of the proposal aims or proposal abstract</td>
<td>PI Exception Letter (if applicable)</td>
</tr>
<tr>
<td>Subaward Documents (if applicable)</td>
<td>Signed/Completed COI forms (if applicable) For <strong>PHS agencies or agencies that have adopted PHS regulations</strong>, all investigators have reported in <strong>eEDGE</strong>.</td>
</tr>
</tbody>
</table>
Streamlining Proposal Process

Benefits:

- Single point of contact
- Compliance with sponsor guidelines
- Compliance with UCLA/UCOP policies
- Expedite award process
  - Currently ~$5.2 million in FY12 awards are on hold due to missing 740s and EPASS
- Report back to campus on key departmental metrics regarding proposal submission
Public Health Service (PHS) regulations on
- Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 C.F.R. Part 50, Subpart F), and
- Responsible Prospective Contractors (45 C.F.R. Part 94).

Applies to PHS proposals submitted on/after August 24, 2012 and PHS awards made on/after August 24.

Specifically Paragraph 50.604 (e)(1) [Each Institute shall] require that each Investigator who is planning to participate in the PHS-funded research disclose to the Institution’s designated official(s) the Investigator's significant financial interests (and those of the Investigator’s spouse and dependent children) **no later than the time of application for PHS-funded research.**
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

Proposals Submitted On or After to August 24, 2012

- Page 3 is BLANK (Initial Communication)

This proposal includes the minimal application materials that will allow OCGA to conduct a meaningful review and provide guidance as necessary. However, we are unable to approve and submit this proposal until we receive the remaining documents which constitute a complete application. Please submit these remaining documents to Specialist __________, email: __________ as soon as possible.

(insert list of missing documents)

(If sponsor adheres to PHS regulations add the following language: “Under PHS conflict of interest regulations (Sponsor Name) requires all Investigators (Investigators are those identified by the PI as individuals who share responsibility for the design, conduct or reporting of the research to complete their initial financial disclosure as soon as possible in eDGE: https://edge.research.ucla.edu at the time of proposal submission. Please provide a list of all Investigators and your confirmation that each have disclosed to prior to submission or authorization to submit.”)

OCGA staff will continue to request all missing documents during proposal review process
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

Proposals Submitted *Prior to August 24, 2012*

- JIT/Other reliable notice of intent to fund
- OCGA obtains/review/submits application elements as applicable
  - 740 in file
    - Alert RPC
    - RPC reviews and alerts approval to OCGA
  - NO 740 in file:
    - Standard Communication (eEDGE & Page 3. of EPASS)
    - Alert RPC
    - RPC reviews and alerts approval to OCGA
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

Proposals Submitted *Prior to August 24, 2012*

- **AWARDS**
  - 740 in file
    - Alert RPC – Award ON HOLD
    - RPC reviews and alerts approval to OCGA
    - OCGA processes award
  - NO 740 in file:
    - Standard Communication (eEDGE & Page 3. EPASS)
    - Alert RPC – Award ON HOLD
    - RPC reviews and alerts approval to OCGA
    - OCGA processes award
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

Awards and No Cost Extensions Prior to August 24, 2012

• Any Notice of Award (NoA) that has an issue date prior to August 24, 2012, is subject to the 1995 regulation. This also applies to projects extended without funds because even though the project period may be extended past August 24, 2012, the grant award was initially issued prior to August 24, 2012.

PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

- Subrecipients - Proposal
  - Proposal: Commitment Form:
    - Not Applicable – Not funded by PHS or any sponsor that has adopted federal financial disclosure requirements
    - Certifies: policy consistent with regulation (42 CFR 50)
    - No policy – will have policy in place at time of award (sample FDP COI policy http://sites.nationalacademies.org/pga/fdp/pga_06100)
    - List of subrecipient investigators and disclosure forms
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

- Subrecipients – Issue Subaward
  - Compliance clause in subaward
  - Obligation to report identified FCOI within 30 days
  - Amendment Addendum
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

- Insufficient data at time of Submission

- Obligating UCLA to assurances and guarantees:
  - eligibility and the accuracy (*is true, complete and accurate to the best of their knowledge*)
  - validity
  - conformity with the most current institutional and sponsor guidelines

- Subject UCLA to:
  - withdrawal of application
  - suspension and/or termination of award
  - debarment of individuals
  - loss of federal funding
  - civil/criminal penalties
  - administrative actions
PHS COI and Proposals, JIT, Awards, No Cost Extensions and Subrecipients

- NOT an OCGA/UCLA requirement - federal financial disclosure requirement.
OCGA Reorganization

Goals and Objectives

• Improve performance by utilizing a new approach to organization effectiveness
• Standardize procedures/processes
• Equitable workload distribution
• Maintain the department connection
• Create standard roles for each position
• Consistent communications and expectations to the campus community.
• Consistency in data entry resulting in greater data integrity and reporting capabilities.
• Process improvements
• Focused leadership and direction
OCGA Reorganization

Proposal and Award Intake Teams – Deployed
Outgoing Subaward Team – Staffed
Analysts – Realignment – Grants and Cooperative Agreements
Officers – Contracts, Incomings Subs and MCAs
Assistant Director – Grants and Cooperative Agreements

• Focused leadership and direction.
• Increased efficiency and internal training.
• Increased internal accessibility and campus outreach.
• Comprehensive management and supervision for grant analysts and specialists including resolving issues related to grant proposals and awards.
• Develop internal training programs and external training workshops.
• Coordinate standard operating procedures and directives, guidance and procedure documents.
• Develop goals and objectives for functional areas/teams.
OCGA Reorganization

Objectives

• Process enhancements
• Staffing/People development
• Customer service
OCGA Reorganization

Process Enhancements

• Update and modify training manuals to correspond to PATS
• Ability to monitor and predict workload and workflow
• Ability to pinpoint location and status of any application/award in the system
• Standardize procedures across OCGA teams
OCGA Reorganization

Staffing/People Development

• Weekly meetings with individual staff
• Mentoring of junior staff
• Bi-weekly staff meetings
• Bi-monthly meetings with DRA’s
• Standardize roles and responsibilities across OCGA teams
OOGA Reorganization

Customer Service

- OOGA and EFM teams meet regularly with departments
- Website re-design
- Efficiency
- Consistency
OCGA Reorganization

Hey I know I just met you
And this is crazy
But here’s my number
So call me, maybe

• Kim Duiker, MHA
  Assistant Director
  Phone: (310)794-0165   E-Fax: (310)943-1658
  kduiker@research.ucla.edu
  http://www.research.ucla.edu/ocga
TIF

- TIF is based upon full time equivalent employee (FTE), **will decrease from $41.52 to $38.41.** This decrease reflects a one-time credit to the campus of $20.52 per FTE, or a monthly credit of $1.71 per FTE. This one-time credit represents the return of a prior year surplus in TIF due to an increase in the number of actual campus FTE compared to the budgeted FTE. Without this credit, the rate would have been $40.12 for FY 12-13.

- [http://map.ais.ucla.edu/go/1005297](http://map.ais.ucla.edu/go/1005297)
QUESTIONS?
OARO Initiatives

Change in Review Practices

Blair Hoover
ARC Compliance Coordinator
Office of Animal Research Oversight (OARO)
ERS Updates
## Effort Reporting Statistics

- **As of 9/12/12**
  - UCLA’s overall completion rates (Spring’06 - Winter’12)
    - 97% certification
    - 3,580 open reports out of 156,961
  - Completion rates Fall ’11 - Winter 2012, (July 30th, Deadline)
    - Completion rate to date 88%
    - On-Time Submission rate 78%

### REMINDER

Spring and Summer 2012 reports will be available around Mid October!

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Fall Cert Rate</th>
<th>Fall Cert #</th>
<th>Fall Open #</th>
<th>Winter Cert Rate</th>
<th>Winter Cert #</th>
<th>Winter Open #</th>
<th>Spring Cert Rate</th>
<th>Spring Cert #</th>
<th>Spring Open #</th>
<th>Summer Cert Rate</th>
<th>Summer Cert #</th>
<th>Summer Open #</th>
</tr>
</thead>
<tbody>
<tr>
<td>2005-2006</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>99%</td>
<td>6648</td>
<td>34</td>
<td>99%</td>
<td>6947</td>
<td>39</td>
</tr>
<tr>
<td>2006-2007</td>
<td>99%</td>
<td>6087</td>
<td>25</td>
<td>99%</td>
<td>6022</td>
<td>31</td>
<td>99%</td>
<td>6166</td>
<td>29</td>
<td>99%</td>
<td>6545</td>
<td>29</td>
</tr>
<tr>
<td>2007-2008</td>
<td>99%</td>
<td>5805</td>
<td>22</td>
<td>99%</td>
<td>5842</td>
<td>32</td>
<td>99%</td>
<td>5971</td>
<td>26</td>
<td>99%</td>
<td>6454</td>
<td>42</td>
</tr>
<tr>
<td>2008-2009</td>
<td>99%</td>
<td>5801</td>
<td>32</td>
<td>99%</td>
<td>5835</td>
<td>44</td>
<td>99%</td>
<td>6073</td>
<td>58</td>
<td>99%</td>
<td>7345</td>
<td>59</td>
</tr>
<tr>
<td>2009-2010</td>
<td>99%</td>
<td>6445</td>
<td>39</td>
<td>98%</td>
<td>6656</td>
<td>72</td>
<td>98%</td>
<td>6840</td>
<td>81</td>
<td>98%</td>
<td>7637</td>
<td>123</td>
</tr>
<tr>
<td>2010-2011</td>
<td>97%</td>
<td>6354</td>
<td>141</td>
<td>97%</td>
<td>6370</td>
<td>177</td>
<td>93%</td>
<td>6243</td>
<td>457</td>
<td>92%</td>
<td>6572</td>
<td>514</td>
</tr>
<tr>
<td>2011-2012</td>
<td>88%</td>
<td>5522</td>
<td>697</td>
<td>88%</td>
<td>5552</td>
<td>742</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
<td>N/A</td>
</tr>
</tbody>
</table>
Effort Reporting Announcement

- Effort Reporting Course
  - October 29, 2012

  - Topics will cover such things as:
    - Searches
    - Late pay
    - Cost Share
    - Negative Effort
    - Exception reporting
    - PI left the University
    - Payroll (column A) vs Effort (column B)
ERS Support

- Outreach Support
- Help Desk: ershelp@research.ucla.edu
  - Connie Brown
  - Leticia Calderon
Research Administrators Forum

Revised PHS Conflict of Interest Regulations

Ann Pollack
Assistant Vice Chancellor – Research

September 13, 2012
Electronic Disclosure Gateway (eDGE)

- Disclose via eDGE if you are or plan to participate in:
  - Research supported by the National Institutes of Health and other PHS agencies
  - Research supported by non-profits that have adopted the PHS COI regulations
- NOTE: Form 740 still in use for NSF & all other federal research sponsors
Frequently asked questions:

• Where’s the login button?
• Why didn’t anything happen when I clicked “finish”?
• How do I know that I completed my submission?
• Where can I get help?
Where’s the login button?

The login button can be found in the upper right hand corner of the screen.
Why didn’t anything happen when I clicked “Finish?”
Some “notts”

• Disclosure of investments in mutual funds is not required
• Disclosure of income from US government agencies is not required
• Disclosure of travel paid for by US government agencies is not required
• Disclosure of UCLA salary is not required
• Disclosure of travel paid for by UCLA (regardless of the source of funds) is not required
The Disclosure Quick Guide can be accessed here.
## eDGE Training Sessions

<table>
<thead>
<tr>
<th>Date</th>
<th>Time &amp; Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wednesday, September 19th</td>
<td>12th Floor, Biomed Library</td>
</tr>
<tr>
<td>Wednesday, September 26th</td>
<td>12th Floor, Biomed Library</td>
</tr>
<tr>
<td>Wednesday, October 3rd</td>
<td>12th Floor, Biomed Library</td>
</tr>
<tr>
<td>Friday, October 12th</td>
<td>12th Floor, Biomed Library</td>
</tr>
<tr>
<td>Wednesday, October 17th</td>
<td>12th Floor, Biomed Library</td>
</tr>
<tr>
<td>Wednesday, October 24th</td>
<td>12th Floor Biomed Library</td>
</tr>
</tbody>
</table>
eDGE Help Desk

- Phone Number: 310-206-8546
- Hours: 8am – 5pm, Monday – Friday
- rpchelp@research.ucla.edu